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Fax Transmittal

Date November 8, 2004 Client-Matter 49548-032

Total Pages (Including Cover) 13

From Joseph A. Capraro, Jr.

Sender's Voice Number 617.526.9800

Sender's Email Address jcapraro@proskauer.com

Sender's Room Number BN

Main Fax Number 617.526.9899

To: Examiner Mark Paschall

Fax No.: 703.872.9306

Company: US Patent and Trademark Office

Voice No.: 703.308.1642

Message

Re: U.S. Patent Application Serial No.: 09/774,165

Attorney Docket No. ASX-015CP

Examiner Paschall,

Regarding my voicemail of November 3, 2004, attached are copies of the Form PTO-1449, associated transmittal papers, and the Return Receipt postcard that we submitted to the USPTO on January 9, 2004 for U.S. Patent Application Serial No. 09/774,165. The Return Receipt postcard was stamped on January 12, 2004 by the USPTO, acknowledging receipt of the Form PTO-1449 and related papers.

At your earliest convenience, please initial the references listed in the Form PTO-1449 and return the initialed form to us via return facsimile. Please let me know if you would like us to provide you with new copies of the documents listed in the Form PTO-1449.

Thank you for your assistance in this matter.



Joseph A. Capraro, Jr.
Reg. No. 36,471
Phone: 617.526.9800
Fax: 617.526.9899

Confidentiality Note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

ASX-0
54-27-4

The "RECEIVED" stamp of the Patent Office is printed below this line.
Transmittal Form (1 page); Fee Transmittal (1 page); Supplemental Information Disclosure Statement (3 pages); Form PTO-1449 (3 pages); References Labeled A76 to A123; B6 to C122 to C125; Check in the Amount of \$180.00; and a Certificate of First Class Mailing.
Dated January 9, 2004 (1 page).



Applicants: Chen et al.
Serial Number: 09/774,165
Atty: Joseph A. Capraro, Jr./om
Date: January 9, 2004

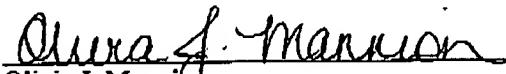
PATENT
Attorney Docket No. ASX-015CP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Chen et al.
SERIAL NO.: 09/774,165 GROUP NO.: 3742
FILING DATE: January 26, 2001 EXAMINER: M. Paschall
TITLE: INTEGRATED PLASMA CHAMBER AND INDUCTIVELY-COUPLED TOROIDAL PLASMA SOURCE

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 9th day of January, 2004.


Olivia J. Mannion

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are: Transmittal Form (1 page); Fee Transmittal (1 page); Supplemental Information Disclosure Statement (3 pages); Form PTO-1449 (3 pages); References Labeled A76 to A123, B6 and C122 to C125; Check in the Amount of \$180; and a return receipt postcard.

2729569-1

TRANSMITTAL FORM

	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">Application Serial Number</td> <td style="width: 85%;">09/774,165</td> </tr> <tr> <td>Filing Date</td> <td>January 26, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Chen</td> </tr> <tr> <td>Group Art Unit</td> <td>3742</td> </tr> <tr> <td>Examiner Name</td> <td>M. Paschall</td> </tr> <tr> <td>Attorney Docket No.</td> <td>ASX-015CP</td> </tr> <tr> <td>Patent No.</td> <td>Not applicable</td> </tr> <tr> <td>Issue Date</td> <td>Not applicable</td> </tr> </table>	Application Serial Number	09/774,165	Filing Date	January 26, 2001	First Named Inventor	Chen	Group Art Unit	3742	Examiner Name	M. Paschall	Attorney Docket No.	ASX-015CP	Patent No.	Not applicable	Issue Date	Not applicable
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ENCLOSURES (check all that apply)

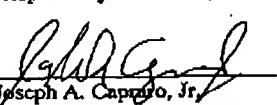
<input checked="" type="checkbox"/> Fcc Transmittal Form <input checked="" type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application <input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings (Total Sheets _____)	<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 <input type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application	
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations	<input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Amendment After Allowance	
<input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	

CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator
 Testa, Hurwitz & Thibeault, LLP
 High Street Tower
 125 High Street
 Boston, MA 02110
 Tel. No.: (617) 248-7000
 Fax No.: (617) 248-7100

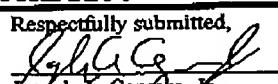
SIGNATURE BLOCK

Respectfully submitted,


 Joseph A. Caputo, Jr.
 Attorney for the Applicants
 Testa, Hurwitz & Thibeault, LLP
 High Street Tower
 125 High Street
 Boston, MA 02110

**FEE TRANSMITTAL
FY 2004**

		<i>Complete if Known</i>	
		Application Serial Number	09774.165
		Filing Date	January 26, 2001
		First Named Inventor	Chen
		Group Art Unit	3742
		Examiner Name	M. Paschall
		Attorney Docket No.	ASX-015CP

METHOD OF PAYMENT		FEES CALCULATION (continued)																																																																																							
1. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>130</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>50</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>130</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>2,520</td> <td>2,520</td> <td>Request for ex parte reexamination</td> <td></td> </tr> <tr> <td>110</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>420</td> <td>210</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>950</td> <td>475</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>1480</td> <td>740</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>2010</td> <td>1005</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>330</td> <td>165</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>330</td> <td>165</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>290</td> <td>145</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>130</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>180</td> <td>180</td> <td>Submission of Information Disclosure Statement</td> <td>180.00</td> </tr> <tr> <td>770</td> <td>385</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>100</td> <td>100</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td>110</td> <td>55</td> <td>Certificate of Correction for applicant's error</td> <td></td> </tr> <tr> <td colspan="2"></td> <td>Other fee (Specify)</td> <td colspan="2"></td> </tr> <tr> <td colspan="2"></td> <td>Other fee (Specify)</td> <td colspan="2"></td> </tr> </tbody> </table>			Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	130	65	Surcharge - late filing fee or oath		50	25	Surcharge - late provisional filing fee or cover sheet		130	130	Non-English specification		2,520	2,520	Request for ex parte reexamination		110	55	Extension for reply within first month		420	210	Extension for reply within second month		950	475	Extension for reply within third month		1480	740	Extension for reply within fourth month		2010	1005	Extension for reply within fifth month		330	165	Notice of Appeal		330	165	Filing a brief in support of an appeal		290	145	Request for oral hearing		130	130	Petitions to the Commissioner		180	180	Submission of Information Disclosure Statement	180.00	770	385	Filing a submission after final rejection (37 CFR 1.129(a))		100	100	For each additional invention to be examined (37 CFR 1.129(b))		110	55	Certificate of Correction for applicant's error				Other fee (Specify)					Other fee (Specify)					
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PATENT RECEIVED
Attorney Docket No. ASX-015
CENTRAL FAX CENTER
NOV 08 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Chen et al.

SERIAL NO.: 09/774,165 GROUP NO.: 3742

FILING DATE: Janaury 26, 2001 EXAMINER: M. Paschall

TITLE: INTEGRATED PLASMA CHAMBER AND INDUCTIVELY-COUPLED TOROIDAL PLASMA SOURCE

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- (1) within three (3) months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- (2) after the period defined in (1) but before the mailing date of a final action or a notice of allowance under 37 C.F.R. 1.311, and
- the requisite Statement is below, OR
- the requisite fee under 37 C.F.R. 1.17(p), namely \$180.00, is included herein, or

Supplemental Information Disclosure Statement
Serial No. 09/774,165
Page 2

- (3) after the mailing date of a final action or notice of allowance but before the payment of the issue fee, AND
- the requisite Statement is below, AND
- the requisite petition fee under 37 C.F.R. 1.17(p), namely \$180.00 is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

On April 3, 2003, Advanced Energy Industries, Inc. ("Advanced Energy") filed a Complaint in the United States District Court, District of Colorado (Civil Action No. 03-WM-0573 (CBS)) seeking a Declaratory Judgment that certain of its reactive gas sources do not infringe three patents owned by MKS Instruments, Inc.'s ("MKS's") subsidiary Applied Science and Technology, Inc. ("ASTeX"). The patents at issue in the Colorado lawsuit include U.S. Patent 6,150,628, U.S. Patent No. 6,338,226, and U.S. Patent No. 6,486,431. The subject application is a continuation-in-part of US Serial No. 09/774,165, which is a continuation-in-part of US Patent No. 6,486,431, which is a continuation of U.S. Patent 6,150,628. On May 14, 2003, MKS moved to dismiss or transfer the Colorado lawsuit.

On May 14, 2003, MKS and its subsidiary ASTeX filed a Complaint in United States District Court, District of Delaware (Civil Action No. 03-469-JJF) alleging that Advanced Energy was infringing

Supplemental Information Disclosure Statement
Serial No. 09774,165
Page 3

five patents owned by ASTeX by making, offering for sale and selling certain reactive gas sources. The patents at issue in the Delaware lawsuit include the patents at issue in the Colorado lawsuit, U.S. Patent 6,552,296, and U.S. Patent No. 6,559,408. On July 10, 2003, Advanced Energy moved to dismiss or transfer the Delaware lawsuit. On December 24, 2003, the Colorado Court ordered the lawsuit transferred to the United States Court, District of Delaware. A Markman Hearing in the Delaware lawsuit is scheduled for January 13, 2004, and a jury trial is scheduled for late July 2004. Discovery is proceeding on a schedule set by the United States District Court, District of Delaware.

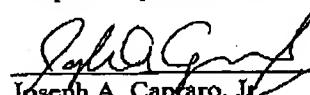
Applicants' enclose copies of the complaint and amended complaint in the (now transferred) Colorado lawsuit and copies of the complaint and answer in the Delaware lawsuit. In its amended complaint in the Colorado lawsuit and its answer in the Delaware lawsuit, AE alleges that one or more claims of the '628, '226, '431, '296, and '408 patents are invalid. See, e.g. pg. 9 of the amended complaint in the Colorado lawsuit (C125) and pg. 5 of the answer in the Delaware lawsuit (C124). As the Defendant in the Delaware lawsuit, Advanced Energy, has brought the patents and publications listed on the attached Form PTO-1449 to Applicants' attention during the discovery process.

In its amended complaint in the Colorado lawsuit and its answer in the Delaware lawsuit, Advanced Energy alleges, among other things, that one or more of the '226, '431, '296 and '408 patents are invalid, void and/or unenforceable due to inequitable conduct with intent to deceive in the form of failing to disclose material information, making material misrepresentations of fact, or submitting false material information to the PTO during prosecution of the applications that became the '226, '431, '296 and '408 patents. See, e.g., pp. 4-8 of the amended complaint in the Colorado lawsuit (C125) and pp. 6-11 of the answer in the Delaware lawsuit (C124).

Applicants' believe that the above-described allegations are without merit and expect to be fully vindicated through the judicial process. In accordance with their duty of candor and good faith, Applicants submit the enclosed documents for consideration.

If the Examiner has questions regarding any of the above, the Examiner is invited to call the undersigned attorney at (617) 248-7369.

Respectfully submitted,


Joseph A. Capraro, Jr.
Attorney for the Applicants
Testa, Hurwitz, & Thibeault, LLP
High Street Tower
125 High Street
Boston, Massachusetts 02110

Date: January 9, 2004
Reg. No. 36,471

Tel. No.: (617) 248-7369
Fax No.: (617) 248-7100

2729362-1

SHEET 1 OF 3

FORM PTO - 1449 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT			ATTORNEY DOCKET NO.: ASX-015CP APPLICANTS: Chen et al. SERIAL NO.: 09/774,165 FILING DATE: January 26, 2001 GROUP: 3742					
U.S. PATENT DOCUMENTS								
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
A76		H268	05/05/87	Owen				
A77		3,054,742	09/18/62	Thonemann et al.				
A78		3,109,801	11/05/63	Thonemann				
A79		3,278,384	10/11/66	Lenard et al.				
A80		3,433,705	03/18/69	Cornish				
A81		4,057,462	11/08/77	Jassby et al.				
A82		4,073,680	02/14/78	Kelley				
A83		4,110,595	08/29/78	Brambilla et al.				
A84		4,263,096	04/21/81	Ohkawa et al.				
A85		4,282,267	08/04/81	Kilycl				
A86		4,292,125	09/29/81	Bers				
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EXAMINER				DATE CONSIDERED				

SHEET 2 OF 3

FORM PTO - 1449 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT				ATTORNEY DOCKET NO.: ASX-015CP APPLICANTS: Chen et al. SERIAL NO.: 09/774,165 FILING DATE: January 26, 2001 GROUP: 3742			
U.S. PATENT DOCUMENTS							
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A98	4,877,757	10/31/89	York et al.			
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	A120	5,998,933	12/07/99	Shun'ko			
EXAMINER				DATE CONSIDERED			

SHEET 3 OF 3

FORM PTO - 1449 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT				ATTORNEY DOCKET NO.: ASX-01SCP APPLICANT(S): Chen et al. SERIAL NO.: 09/774,165 FILING DATE: January 26, 2001 GROUP: 3742					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A121	6,007,879	12/28/99	Scholl					
	A122	6,164,241	12/26/00	Chen et al.					
	A123	6,253,704	07/03/01	Savas			9/17/99		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B6	61-1024	01/07/86	JP			06/12/84	N	Original and translation provided by Advanced Energy Industries, Inc. during litigation with Assignee
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C122	Complaint for Declaratory Judgment of Non-Infringement, filed in the United States District Court for the District of Colorado, by Advanced Energy Industries, Inc., dated April 3, 2003.							
	C123	Complaint, filed in the United States District Court for the District of Delaware, by MKS Instruments, Inc. and Applied Science and Technology, Inc., dated May 14, 2003							
	C124	Answer, filed in the United States District Court for the District of Delaware, by Advanced Energy Industries, Inc., dated December 10, 2003.							
	C125	Amended Complain and Jury Demand, filed in the United States District Court for the District of Colorado, by Advanced Energy Industries, Inc., dated December 15, 2003.							
EXAMINER					DATE CONSIDERED				

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5-39/110

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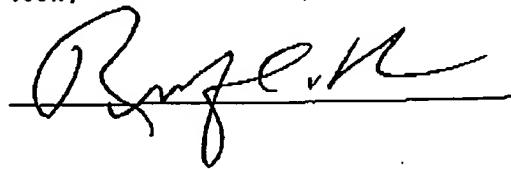
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ASX-015CP

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Transmittal Form (1 page); Fee Transmittal (1 page); Supplemental Information Disclosure
Statement (3 pages); Form PTO-1449 (3 pages); References Labeled A76 to A123, B6 and
C122 to C125; Check in the Amount of \$180.00; and a Certificate of First Class Mailing
Dated January 9, 2004 (1 page).

Applicants: Chen et al.
Serial Number: 09/774,165
Atty: Joseph A. Capraro, Jr./om
Date: January 9, 2004

2729584-1